

**CERTIFICATE UNDER 37 CFR 3.73(b)**

Applicant: Arthur M. Krieg et al.

Application No.: 09/630,319

Confirmation No.: 5464

Entitled: METHODS FOR TREATING AND PREVENTING INFECTIOUS DISEASE

University of Iowa Research Foundation , an Iowa Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is an assignee of an individual part interest in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel 011254, Frame 0338.

☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

3/23/04  
Date

W. Bruce Wheaton  
Signature

W. Bruce Wheaton

Executive Director



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Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
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Washington, D.C. 20231



\*700073330A\*

MARCH 25, 2004

PTAS

WOLF GREENFIELD & SACKS P.C.  
HELEN C. LOCKHART  
600 ATLANTIC AVE, FEDERAL RESERVE PLAZA  
BOSTON, MA 02210

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RECORDATION DATE: 03/19/2004

REEL/FRAME: 014447/0333  
NUMBER OF PAGES: 7

BRIEF: CHANGE OF NAME (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

CPG IMMUNOPHARMACEUTICALS, INC.

DOC DATE: 01/21/2000

ASSIGNEE:

COLEY PHARMACEUTICALS GROUP, INC.  
93 WORCESTER STREET, SUITE 101  
WELLESLEY, MASSACHUSETTS 02481

SERIAL NUMBER: 09630319  
PATENT NUMBER:

FILING DATE: 07/31/2000  
ISSUE DATE:

MARCUS KIRK, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS





UNITED STATES DEPARTMENT OF COMMERCE  
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MARCH 25, 2004

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RECORDATION DATE: 03/19/2004

REEL/FRAME: 014447/0319  
NUMBER OF PAGES: 3

BRIEF: RE-RECORD TO CORRECT THE RECEIVING PARTY'S NAME, PREVIOUSLY RECORDED AT REEL 011254, FRAME 0360.

ASSIGNOR:

STEINBERG, ALFRED D.

DOC DATE: 10/30/1998

ASSIGNEE:

CPG IMMUNOPHARMACEUTICALS, INC.  
55 WILLIAM STREET, SUITE 120  
WELLESLEY, MASSACHUSETTS 02481

SERIAL NUMBER: 09630319  
PATENT NUMBER:

FILING DATE: 07/31/2000  
ISSUE DATE:

014447/0319 PAGE 2

TONYA LEE, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

03/19/2004

700073328

Attorney's Docket No. C1039.70042US00

# RECORDATION FORM COVER SHEET PATENTS ONLY

FORM PTO-1585

(Rev. 8-83)

OMB No. 0651-0011 (exp. 4/94)

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

To the Commissioner for Patents: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Alfred D. Steinberg

2. Name and address of receiving party(ies)

Name: **CpG ImmunoPharmaceuticals, Inc.**

Internal Address:

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

3. Nature of conveyance:

☐ Assignment☐ Merger☐ Security Agreement☐ Change of Name☒ Other AgreementStreet Address: **55 William Street, Suite 120****Wellesley, MA 02481**Execution Date: **October 30, 1998**Additional name(s) & addresses(es) attached? ☐ Yes ☐ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is

A. Patent Application No.(s)  
**09/830,319**

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☐ No5. Name and address of party to whom correspondence  
Concerning document should be mailed:Name: **Helen C. Lockhart**  
Address: **WOLF, GREENFIELD & SACKS, P.C.**  
**Federal Reserve Plaza**  
**600 Atlantic Avenue**  
**Boston, MA 02210**6. Total number of applications and patents involved: **[1]**

7. Total fee (37 CFR 3.41)

**\$ 40.00**☐ Enclosed☒ Authorized to be charged to deposit account

The Commissioner is authorized to charge:

8. Deposit Account No: **23/2825**

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9. Statement and signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Helen C. Lockhart

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: **[2]**

Mail documents to be recorded with required cover sheet information to:

Box Assignment

Honorable Commissioner of Patents,  
Washington, D.C. 20231



**CERTIFICATE UNDER 37 CFR 3.73(b)**

Applicant: Arthur M. Krieg et al.

Application No.: 09/630,319 Filed: July 31, 2000

Confirmation No.: 5464

Entitled: METHODS FOR TREATING AND PREVENTING INFECTIOUS DISEASE

The United States of America, as represented , a Government Agency  
by the Secretary, Department of Health and  
Human Services

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university,  
government agency, etc.)

certifies that it is an assignee of an individual part interest in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel 010939, Frame 0417

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

3.29.04

Date

Signature

**Michael Shmilovich, J.D.**

**Registration No. 45, 634**

**Technology Licensing Specialist**

**NIH-Division of Technology**

**Development and Transfer**

**6011 Executive Blvd., Suite 325**

**Rockville, MD 20852**



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

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SEPTEMBER 13, 2000

WOLF, GREENFIELD & SACKS, P.C.  
HELEN C. LOCKHART  
FEDERAL RESERVE PLAZA  
600 ATLANTIC AVENUE  
BOSTON, MA 02210

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RECORDATION DATE: 07/12/2000

REEL/FRAME: 010939/0417  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

KLINMAN, DENNIS

DOC DATE: 03/01/2000

ASSIGNEE:

HEALTH AND HUMAN SERVICES,  
DEPARTMENT OF, UNITED STATES OF  
AMERICA, AS REPRESENTED BY THE  
SECRETARY, THE  
BUILDING 29A, 3D10  
BETHESDA, MARYLAND 20892

SERIAL NUMBER: 08960774  
PATENT NUMBER:

FILING DATE: 10/30/1997  
ISSUE DATE:

TONYA LEE, EXAMINER  
ASSIGNMENT DIVISION  
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REC

07-27-2000

SHEET

FORM PTO-1595 U.S.  
(Rev. 6-93)  
OMB No. 0651-0011 (exp. 4/94)



101415128

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Patent and Trademark Office

To the Assistant Commissioner for Patents : Please record the attached original documents or copy thereof.

<b>1. Name of conveying party(ies):</b> Dennis Klinman		<b>2. Name and address of receiving party(ies):</b>  Name: The United States Of America, as represented by the Secretary, Department of Health and Human Services  Internal Address:  Street Address: FDA/CBER Building 29A, 3D10 Bethesda, Maryland 20892  Additional name(s) & addresses(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>3. Nature of conveyance:</b>  <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger  <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name  <input type="checkbox"/> Other _____  Execution Date: March 1, 2000			
<b>4. Application number(s) or patent number(s):</b> If this document is being filed together with a new application, the execution date of the application is  A. Patent Application No.(s) 08/960,774  B. Patent No.(s)  Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>5. Name and address of party to whom correspondence Concerning document should be mailed:</b>  Name: Helen C. Lockhart Address: WOLF, GREENFIELD & SACKS, P.C. Federal Reserve Plaza 600 Atlantic Avenue Boston, MA 02210		<b>6. Total number of applications and patents involved: One</b>  <b>7. Total fee (37 CFR 3.41)</b> \$ 40.00  <input checked="" type="checkbox"/> Enclosed (previously filed on 3/7/00)  <input type="checkbox"/> Authorized to be charged to deposit account  The Commissioner is authorized to charge:  <b>8. Deposit Account No: 23/2825</b>	
DO NOT USE THIS SPACE			
<b>9. Statement and signature</b> To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.			
Helen C. Lockhart (Reg. No. 39,248)			7/12/00
Name of Person Signing		Signature	Date
Total number of pages including cover sheet, attachments, and document: 7			

Mail documents to be recorded with required cover sheet information to:  
Box Assignment, Assistant Commissioner for Patents,  
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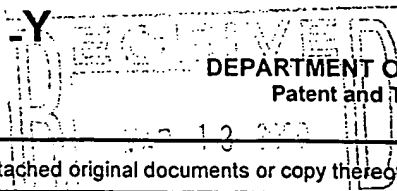
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(Rev. 6-93)  
OMB No. 0651-0011 (exp. 4/94)

COVER SHEET



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Patent and Trademark Office

To the Assistant Commissioner for Patents : Please record the attached original documents or copy thereof.

1. Name of conveying party(ies): Dennis Klinman	2. Name and address of receiving party(ies) Name: The United States Of America, as represented by the Secretary, Department of Health and Human Services  Internal Address:  Street Address:  Additional name(s) & addresses(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  3. Nature of conveyance:  <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger  <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name  <input type="checkbox"/> Other _____  Execution Date: March 1, 2000	

4. Application number(s) or patent number(s):  
If this document is being filed together with a new application, the execution date of the application is

A. Patent Application No.(s)  
08/960,774

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence Concerning document should be mailed:  Name: Helen C. Lockhart Address: WOLF, GREENFIELD & SACKS, P.C. Federal Reserve Plaza 600 Atlantic Avenue Boston, MA 02210	6. Total number of applications and patents involved: <b>One</b>  7. Total fee (37 CFR 3.41) \$ 40.00  <input checked="" type="checkbox"/> Enclosed  <input type="checkbox"/> Authorized to be charged to deposit account  The Commissioner is authorized to charge:  8. Deposit Account No: 23/2825
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9. Statement and signature  
*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Helen C. Lockhart (Reg. No. 39,248)		3/7/00
Name of Person Signing	Signature	Date

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Washington, D.C. 20231

04/11/2000 DNGUYEN 00000020 08260774

01 FC:581

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ASSIGNMENT

WHEREAS, I, Dennis Klinman, as an employee of the Department of Health and Human Services during which time co-invented "IMMUNOSTIMULATORY NUCLEIC ACID MOLECULES" for which has been made application for Letters Patent of the United States Serial No. 08/960,774 filed October 30, 1997; and

WHEREAS, I am an applicant named in the above-identified application for Letters Patent; and

WHEREAS, the conditions under which said invention was made are such as to entitle THE UNITED STATES OF AMERICA, as represented by the Secretary, Department of Health and Human Services [hereinafter THE GOVERNMENT] under Paragraph 1(a) of Executive Order 10096 to the entire right, title, and interest herein, both domestic and foreign; and

WHEREAS, THE GOVERNMENT is desirous of acquiring all domestic and foreign right, title, and interest in the above-mentioned invention described in the application for Letters Patent; and

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, I hereby assign and transfer to THE GOVERNMENT, represented by the Secretary, Department of Health and Human Services, the full and exclusive rights in and to said invention in the United States and within each and every foreign country in which THE GOVERNMENT elects to file and the entire right, title, and interest in and to such applications, and any continuations, continuations-in-part, divisions, reissues or extensions thereof, and including priority rights as may be filed in the United States and foreign countries, and such Letters Patent as may be granted to be held by THE GOVERNMENT to the end of the term for which the same would have been held by the inventor had this assignment not been made.

I further agree to make, execute, and deliver to the Secretary, Department of Health and Human Services, upon request, any and all papers, documents, affidavits, or other instruments that may be necessary in the prosecution of any application or applications for improvements or reissues of Letters Patent, and to assist THE GOVERNMENT in every way as may be requested in protecting said invention, provided that any expense of extending such assistance shall be paid by THE GOVERNMENT.

IN WITNESS WHEREOF I subscribe my hand and seal on the dates shown below:

Date March 1, 2000 Dennis Klinman  
Dennis Klinman

County of Montgomery

State of Maryland

Subscribed and sworn to before me this 1st day of April, 19 2000

[Seal]

Margaret L. Tomczak  
Notary Public



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
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JANUARY 24, 2001

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HELEN C. LOCKHART  
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BOSTON, MASSACHUSETTS 02210

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RECORDATION DATE: 10/30/2000

REEL/FRAME: 011254/0338  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

KRIEG, ARTHUR M.

DOC DATE: 10/19/2000

ASSIGNEE:

UNIVERSITY OF IOWA RESEARCH  
FOUNDATION  
214 TECHNOLOGY INNOVATION CENTER  
OAKDALE RESEARCH CAMPUS  
IOWA CITY, IOWA 52242

SERIAL NUMBER: 09630319  
PATENT NUMBER:


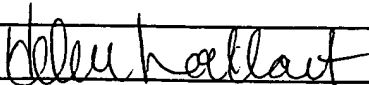
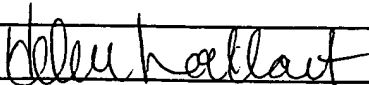
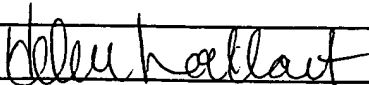
FILING DATE: 07/31/2000  
ISSUE DATE:

SHARON LATIMER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

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<p>10.30.00</p> <p style="text-align: center;"><b>RECO</b></p> <p style="text-align: center;">OCT 30 2000</p> <p>FORM PTO-1535 (Rev. 6-93) OMB No. 0651-0044</p>	<p>11-22-2000</p>  <p>101525003</p>	<p style="text-align: center;"><b>HEET</b></p> <p style="text-align: center;">U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office</p>						
<p>To the Commissioner for Patents : Please record the attached original documents or copy thereof.</p>								
<p>1. Name of conveying party(ies): <b>Arthur M. Krieg</b></p> <p>Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>3. Nature of conveyance:</p> <p><input checked="" type="checkbox"/> Assignment <span style="margin-left: 100px;"><input type="checkbox"/> Merger</span></p> <p><input type="checkbox"/> Security Agreement <span style="margin-left: 100px;"><input type="checkbox"/> Change of Name</span></p> <p><input type="checkbox"/> Other _____</p> <p>Execution Date: <b>October 19, 2000</b></p>	<p>2. Name and address of receiving party(ies)</p> <p>Name: <b>University of Iowa Research Foundation</b></p> <p>Internal Address:</p> <p>Street Address: <b>214 Technology Innovation Center Oakdale Research Campus</b></p> <p style="text-align: center;"><b>Iowa City, IA 52242</b></p> <p>Additional name(s) &amp; addresses(es) attached? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>							
<p>4. Application number(s) or patent number(s):</p> <p>If this document is being filed together with a new application, the execution date of the application is</p> <table style="width: 100%;"> <tr> <td style="width: 50%;"> <p>A. Patent Application No.(s) <b>09/630,319</b></p> </td> <td style="width: 50%;"> <p>B. Patent No.(s)</p> </td> </tr> </table> <p style="text-align: center;">Additional numbers attached? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>			<p>A. Patent Application No.(s) <b>09/630,319</b></p>	<p>B. Patent No.(s)</p>				
<p>A. Patent Application No.(s) <b>09/630,319</b></p>	<p>B. Patent No.(s)</p>							
<p>5. Name and address of party to whom correspondence Concerning document should be mailed:</p> <p>Name: <b>Helen C. Lockhart</b> Address: <b>WOLF, GREENFIELD &amp; SACKS, P.C. Federal Reserve Plaza 600 Atlantic Avenue Boston, MA 02210</b></p>	<p>6. Total number of applications and patents involved: <b>[1]</b></p> <p>7. Total fee (37 CFR 3.41) <span style="float: right;"><b>\$ 40.00</b></span></p> <p><input checked="" type="checkbox"/> Enclosed</p> <p><input type="checkbox"/> Authorized to be charged to deposit account</p> <p>The Commissioner is authorized to charge:</p> <p>8. Deposit Account No: 23/2825</p>							
<p>DO NOT USE THIS SPACE</p>								
<p>9. Statement and signature <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i></p> <table style="width: 100%;"> <tr> <td style="width: 30%;"> <p>Helen C. Lockhart</p> </td> <td style="width: 30%; text-align: center;">  </td> <td style="width: 40%; text-align: center;"> <p>October 26, 2000</p> </td> </tr> <tr> <td style="text-align: center;"> <p>Name of Person Signing</p> </td> <td style="text-align: center;"> <p>Signature</p> </td> <td style="text-align: center;"> <p>Date</p> </td> </tr> </table>			<p>Helen C. Lockhart</p>		<p>October 26, 2000</p>	<p>Name of Person Signing</p>	<p>Signature</p>	<p>Date</p>
<p>Helen C. Lockhart</p>		<p>October 26, 2000</p>						
<p>Name of Person Signing</p>	<p>Signature</p>	<p>Date</p>						
<p>Total number of pages including cover sheet, attachments, and document: <b>[2]</b></p>								

## ASSIGNMENT

In consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, I the undersigned Arthur M. Krieg, 890 Park Place, Iowa City, IA 52246 hereby

Sell, assign and transfer to University of Iowa Research Foundation, an Iowa corporation having a place of business at 214 Technology Innovation Center, Oakdale Research Campus, Iowa City, Iowa 52242, its successors, assigns and legal representatives, all hereinafter referred to as the Assignee, the entire right, title and interest for the United States and all foreign countries, in and to any and all inventions which are disclosed in the application for United States Letters Patent filed in the United States Patent and Trademark Office on July 31, 2000 under Serial No. 09/630,319 and entitled METHODS FOR TREATING AND PREVENTING INFECTIOUS DISEASE, and in and to said application and all divisional, continuing, substitute, renewal, reissue and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said inventions; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority.

I agree that said Assignee may apply for and receive Letters Patent for said inventions in its own name; and when requested, without charge to but at the expense of said Assignee, I agree to carry out in good faith the intent and purpose of this assignment, by executing all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said inventions, by executing all rightful oaths, assignments, powers of attorney and other papers, by communicating to said Assignee all facts known to me relating to said inventions and the history thereof, and generally by doing everything possible which said Assignee shall consider desirable for aiding in securing and maintaining proper patent protection for said inventions and for vesting title to said inventions and all applications for patents and all patents on said inventions, in said Assignee.

I hereby request the Honorable Commissioner of Patents and Trademarks to issue said Letters Patent to said Assignee.

I covenant with said Assignee that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by me and that full right to convey the same as herein expressed is possessed by me.

10/19/00  
Date

Arthur M. Krieg  
Arthur M. Krieg

STATE OF Iowa :  
COUNTY OF Jackson :

Subscribed and sworn to before me this 19<sup>th</sup> day of October 2000

SEAL

Annelle M. Kupper  
Notary Public  
My Commission Expires 6/7/2002

**CERTIFICATE UNDER 37 CFR 3.73(b)**

Applicant: Arthur M. Krieg et al.

Application No.: 09/630,319 Filed: July 31, 2000

Confirmation No.: 5464

Entitled: METHODS FOR TREATING AND PREVENTING INFECTIOUS DISEASE

Coley Pharmaceutical Group, Inc. , a Delaware Corporation  
(formerly CPG Immunopharmaceuticals, Inc.)

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university,  
government agency, etc.)

certifies that it is an assignee of an individual part interest in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment to CpG Immunopharmaceuticals, Inc. was recorded in the Patent and Trademark Office at Reel 014447, Frame 0319, and the change of name from CpG Immunopharmaceuticals Inc. to Coley Pharmaceutical Group Inc. was recorded at Reel 014447, Frame 0333.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

April 6, 2004

Date

Robert L. Bratzler

Signature

Robert L. Bratzler

Robert L. Bratzler

\_\_\_\_\_  
President and CEO